

Folder 9
#2B

TRANSMITTAL AND DOCUMENT RECEIPT

HSCA

TO: Mr. Michael Goldsmith
Select Committee on Assassination
House of Representatives
3381 House Annex # 2
2nd & D Street, S.W.

FROM: Office of Legislative Counsel
Central Intelligence Agency
Room 7 D 35
Washington, D.C. 20505
26 Jun 78


THE DOCUMENTS LISTED HEREON ARE FORWARDED FOR:

INFORMATION		ACTION		RETENTION		LOAN	
CONTROL NUMBER	DOC. DATE	SUBJECT (Unclassified preferred)				CLASS.	
		Notes of Wolf and Goldsmith (HSCA request (Wolf) 26 Jun 78 0001742 -0001761				SECRET	
		Information on 201 files HSCA request (Wolf) 26 Jun 78 0001762 -)0001781				SECRET	
<div>THIS COPY IS <u>NOT</u> FOR RELEASE.</div> <div>APPROVED FOR RELEASE 1993 ON HISTORICAL REVIEW PROGRAM</div> <div>19570</div>							

RECEIPT

SIGNATURE (acknowledging receipt of above documents)

DATE OF RECEIPT

RETURN TO
 OFFICE OF LEGISLATIVE COUNSEL
CENTRAL INTELLIGENCE AGENCY
ROOM 7 D 35
WASHINGTON, D.C. 20505

SECRET

Briefing 2/14/78

Bill Donnelly - Chief of Information Services Staff

Mike Claffey?

Mr. Coyle

Virginia Tores

Opening of 201

Operational interest

Trace would be conducted → bring together existing materials → open 201

Trace produces computer printout of info., not documents. In early '60's, it produced index cards.

Who opens 201?

Case officer - it's his judgement which determines whether if
if no intention of continuing interest, 201 may not be opened.

If it's an am. i. info. comes from a source such as FBI, CIA may
not open a 201.

If this type of info. comes in, it would go into index

There are certain criteria

1) Recruitment

2) High-level Communist officials

There are some operations which are run out of Headquarters, in which
case, a case officer is involved.

PRQ Pt. I - ~~high info~~

Pt. II - ~~more extensive~~

- might indicate sp. involvement

There should be a doc. indicating reasons why a part-person is not
recruited.

There should be a reference in 1st file to document in 2nd file if
there is one.

0001742

SECRET

SECRET

③

Central
Comm Staff

Am. citizens or most foreigners being used in some manner would, as a general rule, have a security check.
If that person was an official of another govt. agency or from military, that org. would have to be consulted.
Probably would use that org's

PLS - Policy & Co-ord. Staff

↳ would be involved in co-ord. of a project in which both the CIA's' another org. was involved

To the extent of CIA involvement, files would be maintained. That is not to say that other would not have more comprehensive files.

Project file

Graphics -

OCR

OCR - Office of Central Registry - reference - part of NAC
photos of ships, things of intelligence nature are maintained there.

Photos of prominent persons - ex. Eisenhower

Photos of tourists or random groups would not be of interest

Signal Office Vouchered / Unvouchered Funds

P&L: Prescribed & Limited - refers to communications which are compartmentalized

Opening of P&L channel of comm. is determined by one of 3 persons
— Chief of PLS, ADAO, or DAO

0001744

SECRET

PAGE 3 of 7
COPY NO. _____

SECRET

(4)
This has always been true - In earlier times, it may have been restricted by even fewer persons.

Pik communication may, in time, be downgraded; may never be destroyed.

as it possible, in context of a CI threat, in case of our hypothetical that info. would not be compiled in a 201 file. Yes, it is conceivable that many docs. could exist in the system & not be compiled into a 201 if there doesn't appear to be a reason for a 201.

Pseudo: false name used for purposes of communication

Crypto: Used to id. area of ops. by digraph, followed by group of letters. You cannot assign a cryptonym w/out having a 201 #

If hypo. ^{Am} soldier lets his give away mil. secrets & then defects, a 201 file would not necessarily have been opened - it might be a mil. matter.

CI staff may have had interests in defector

In early 60's, there was an interest in defectors.

Davis hypo based on ZRRIFLE:

574 A form: request to put doc. into system

? 1997 " " " " " into index

In op. such as ZRRIFLE, docs. may be severely Pk - might not go into system except upon determination of officer handling case.

"Sleeper agent" hypo: to run 2 or 3 sleepers in comm. China. [] 24
Doesn't necessarily have to know @ it since it is being run from Hqtrs. - from AAP to CI staff - reasonable scenario

Would a 201 be opened on sleeper?

Competing ' of secrecy or being able to keep track of sleeper

Change of sleeper to Am. soldier defecting to E. Germany - report comes in from reliable source stating that sleeper is providing info. - no 201 opened - C.O. in E. Ger. -

SECRET

0001745

YMC

SECRET

(4)
This has always been true - In earlier times, it may have been restricted by even fewer persons.

P&H communication may, in time, be downgraded; may never be destroyed.

Is it possible, in context of a CI threat, in case of our hypothetical that info. would not be compiled in a 201 file? Yes, it is conceivable that many docs. could exist in the system & not be compiled into a 201 if there doesn't appear to be a reason for a 201.

Pseudo: false name used for purposes of communication

Crypto: used to id. area of ops. by digraph, followed by group of letters
You cannot assign a cryptonym w/out having a 201 #

If hypo. ^{Am} soldier who gives away mil. secrets & then defects, a 201 file would not necessarily have been opened - it might be a mil. matter.

CI staff may have had interests in defector

In early 60's, there was an interest in defectors.

Davis hypo based on ZRRIFLE:

574 A form: request to put doc. into system

? 1897 " " " " " into index

In op. such as ZRRIFLE doc. may be severely P&H - might ^{never} go into system except upon determination of officer handling case.

"Sleeper agent" hypo: to run 2 or 3 sleepers in comm. China - 24
doesn't necessarily have to know @ it since it is being run from Hqtrs. - from AAP to CI staff - reasonable scenario

Would a 201 be opened on sleeper?

Competing ' of secrecy vs. being able to keep track of sleeper

Change of sleeper to Am. soldier defecting to E. Germany - report comes in from reliable source stating that sleeper is providing info. - no 201 opened - C.O. in L.H.S. -

SECRET

0001745

SECRET

(5)

Plans would take place in small room in CI staff.

Form must be signed by DSO - would be put into op. file on the sub.
File would be held at CI staff desk or at action desk.

Problems: Communication

: Equipment

Op. files can generally be destroyed according to guidelines.

Is it possible for someone to have both a 201 file & ~~then~~ Personnel file? yes

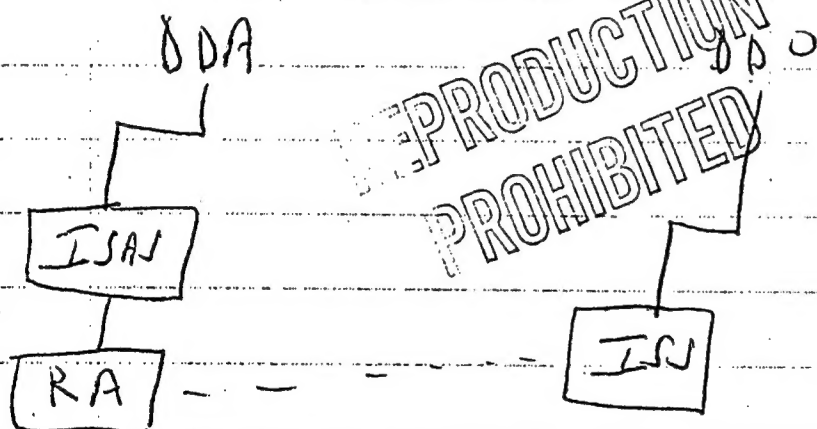
REPRODUCTION
PROHIBITED

6001746

SECRET

Records Administration - helps diff. Directors set up
 - Bruce Johnson records sys
 + George Frater

RIO - defunct designation for part of Info
 Services staff at handles DDO records



DDO has a filing sys unto itself

Any SS can call upon RA to give assistance. But DO can also design its own filing sys so long as RA's legal guidelines are followed. But RA usually is informed of how the other filing sys work.

Day to day maintenance of files is decentralized.

ISS central sys is also heart of indiv division (i.e. anal) systems.

- for items of record value

Special materials might not go into central file. i.e. special correspondence.

6001747

SECRET

SECRET

"Prescribed & Limited" info

- highly sensitive info - limited distrib
to certain indivs

Designation as P+L is made by DDO
& senior staff officer

P+L designation - deep cover agent in
hostile territory might receive this
designation.

- this designation would not
be uncommon in cases of this kind.

10 or 15 yrs ago, w/ super sensitive
operations, this was relatively common.

* Possi for something to be so sensitive
that no 201 file is assigned.

CI staff has gone over accumulation of
many yrs & is now catching up to
place names in central index.

possi to that situation occurs where a
P+L file is no longer available to locate.
- lost, destroyed, archived.

Could open 201 file w/o giving indication
of prior assoc w/ CIA. This, according
to Johnson, would be irresponsible.

0001748

SECRET

7 of 20

SECRET

Cryptonym would be in 201 file.

201- need for a continuing interest
in order to open a file.

Source

asset

adversary

KGB

REPRODUCTION
PROHIBITED

Counterintelligence threat

→ 201 file would be opened
w/ matter of days or a wk -
assuming source is accurate.

is an American newspaper
firm in Germany who is giving inf
to Russians.

To locate where documents were
filed prior to being placed in
file, refer to abstract sys under
document #.

If ~~source~~ ^{Analyst} in Ger is actually
sleeper who works for PRC in no 201 file &
open # assigned to him, it is possi-
ble that his case officer would
prevent opening of a 201 file #.

→ Interagency source register exists →
avoids poss. of > 1 agency using same
agent.

SECRET

6001749

PAGE 8 of 20
CIPX NO. _____

SECRET

Graphics index & will not contain
routine pictures of tourists or groups

201 files will not necessarily contain
pictures.

See
next
page

There is no (centralized)
correlated to ~~crypt~~ names index

did say ~~that~~ not certain, but
his info would not
be retained for record purpose.

poss. for 201 file not to contain
crypt.

deepcover - these people don't have 201's
in their true names.

201's are not opened in predominate

Bob Barton.

There is only one version of a 201 file
in no copies. Local offices have
working files.

Files other
than
201

subject file - person target.
project files
policy & suggestion

SECRET

5
0001740

DATE 9 OF 28
COPY NO.

Project files

involved,

cover staff - involved in creation of cover.

of ~~the~~ ^{deep cover} ~~plants~~ ^{plants} involved in setting up
— unless you show up 000

such ~~too~~ deep cover programs do exist.

There is a central listing of cryptonyms. From this list you get true name, then go to 201 file if there is one.

staff personnel

Encl. ~~duel~~ of 2015

"Age for Hair Proscriptions" will include

There is no hard piling sys by
tree name, pseudonym, crypt, & so.

SECRET

0001751.

DATE 10 OF 22
1920.

SECRET

There is no ~~pass~~ staff officer or
asset filing indicating what operations
/projects the staff officer/asset was
involved in.

continuous
employee
relationships
w/ US
govt.

Case Officer = SA in FBT

Contract ~~and~~ report capacities

agents or unpaid people who
are controlled by CIA.

agent & asset may be the same.

agent bec as " " is not really an
always, confused

Source - provider of info

asset - ~~may~~ someone who may provide
a service or info.

Name ck process - procedure to learn what
is known about a person.

- involving a ck of all files

results would go into 201 file if
there is ~~one~~

201 files are generally in sequence.

Name cks are always done w/
opening of 201.

True id may be kept out of 201, &
it would be worked in cryptograms.

SECRET

0001752

11 of 20

SECRET

There is a centralized filing sys by
true name, pseudonym, crypt, & 201st.
- called a true name index

[Sec off. ~~only~~ ~~for~~ ~~use~~ ~~in~~ ~~the~~ ~~file~~ ~~is~~ ~~being~~ ~~its~~ ~~last~~
filing sys]

REPRODUCTION
PROHIBITED

001753

SECRET

Fratar

201

Subject - countries, projects

exist for all projects that CIA
is involved in.

Finance

Receipts, there will be a crypt file
Logistics - automobiles, clothing, supplies
Communications - ~~also~~ chron file on
ables; microfilm.

Security - security file; under pseudonym
personal file on applicants & agency employees
for agents - 2 file in office of security

Overt

Covert

big data, results of sec.
investigation. assignment,

Anything that he does
when he's overseas i.e. writing a dispatch
assignment listed in a sec file.

Medical - medical histories on all staffers
Some agents if they can get it.
psych profile

Training - agents, mgrs, secretaries, officers

ODP (Office of data processing) - put together papers
used by agencies to show response related to computer

SECRET

Botey Wolf

CIA Briefing - January 26, 1978

Records Admin. Branch - w/ in ADA

RIA → subsumed into ISS - Info. Services Staff - only DDO

REPRODUCTION
PROHIBITED

ADA

1

ISAS - Info. Systems Analysis Staff

1

Records Admin. Branch

Can be used for any level w/in any Division, but anyone can design their own systems, providing they inform RAB so that they can monitor compliance.

"Family Jewels Collection":

Highly sensitive & compartmented info. tends to be diverted from central records

REPRODUCTION
PROHIBITED

Guidelines for handling & maintaining secret but not for completing "bigot list" emphasis on limiting access.

→ P.E.L.

0001755

SECRET

p.2

"Prescribed & Limited" Distribution (P&L): doesn't cover files but info., communications

"Sleeper" hypo: Operation could have been so sensitive as to be kept out of filing, indexing system, particularly 10-15 years ago.

May have been handled out of front office; may not have even need 201 file #

201 #'s: assigned by ISS; were assigned by KID 10-15 yrs. ago
Files were not designated "P&L" but were "restricted" to confined jurisdictions

Cryptonym assignment: part of ISS - Central Top Secret & Cryptic Reference Staff

"Sleeper" would have to have a cryptonym for op. purposes. Would list cryptonym w/ 201 # → ∴ no name, not in STAR system

Bob Bartove-

Basis for opening a 201 file:

Some sense of "continuing interest" either as a potential source, agent, KGB official - can be either ^{for} operational or counter-intell. purposes
Could be either to consolidate several references in STAR system
Could be opened in response to one reference - Ex.: 1 credible source ref. to some suspected KGB person

201 could be opened in a matter of hrs., days or weeks if someone recognized info. of significance on part. person

"Files content listing" - supplemental listing from STAR system

Abstract system of STAR: could find prior references to a part. document

when did system start?

outline in '60's

p.3

Central Source Register

Ask Hugg
for details

Interagency Source Register: in effect probably since beg. of CIA
(of Intelligence Agencies) - doesn't include regular personnel - only
assets - would be based on true names - wouldn't contain sensitive sources

201 files would not necessarily contain a photograph. Even if photo
existed, it may not have been in 201 file but may be x-ref. to a
specific desk.

Shapiro's collection in OAT

Ask Hugg

Indiv. desks will collect photos of persons of interest

may contain photos of terrain, etc. Not particularly interested in group pics, etc.

Listing of assets - would be maintained in a working manner at
separate desks.

Ref. Hugg

DAO would be only place where there would be access to this type
of listing.

By & large, no 201 files on employees, unless there was an op. interest
prior to employment. Official Personnel File

Opening docs. of 201 files would contain refs. to clearance papers (which
would be maintained in Sec. Office)

Emp. under deep cover → Staff Agent - his files would appear under
his pseudonym. ^{if converted & would}

Don't open 201's on pseudonyms, but could open one on cryptonyms.

0001757

SECRET

SECRET

p. 4

Only 1 copy of a 201 file; may be a working field copy

Subject files:

Project files:

Policy & mgmt. files

REPRODUCTION
PROHIBITED

Project file: operational mgmt. record of a given project

A. Administration

B. Support

C. Production

201 would have info. on asset involved in project; project file's info is on operation itself.

See Gregg

Operational Details

Central list of cryptonyms - where they're registered - you can match the cryptonym with the true name. The more sensitive the asset or operation → the more difficult it will be to get to true name.

Hard file: Official information

Soft file: includes working papers - anything of record value in soft file would be included in hard file.

REPRODUCTION
PROHIBITED

?

Project files: where are approval, decision-making records filed?

Personnel file

contains: where worked; supervisor's name; type of work done; evaluations

Does not contain specific operations in which employee was involved.

SECRET

0001750

PAGE 17 OF 20
COPY NO. _____

SECRET

p.5

Employees

↳ Case officers - intelligence officers

Contract employees

Agents: may or may not be paid represent assets who are under their control

Asset: someone from whom they can get useful services, including

Source: Source of information

Ask Hugg

PRQ: Basic biog. info.

Way of ordering available info.

Fundamental doc. in an agent's 201 file.

Name check (=trace) process includes check of following:

STAR trace

Travel files

Office of Security

Provisional Approval

Also do name checks for other agencies

Negative AM/LASA name trace -

Check check list:

0001759

SECRET

SECRET

p.6

George Fratas

Subject Files: countries, projects, misc.

201 Files: individuals

Would be a matter of course to maintain files on another operation originating in another agency.

Agent:

201:

Office of Security

" of Finance:

CI Staff might have info.

Finance: accts., vouchers, receipts; will have a cryptonym file

Logistics: support - autos, clothing, etc. necessary to run operations

Communications: cables, telegraphs

Maintain a chrono. file on cables - on microfilm

Cables are logged in w/ a number, date, station

Security: Security files - listed under pseudonym if an agent
" " " " true name if an employee

Started to eliminate
dual filing @ mid '60's

Agents -
2 files - each with the same #

Overt - true name Covert - pseudonym - listed in index

ask ARO

- Would an agent ever operate under a pseudonym

If it has pseudonym → he is in file

(overt)

True name: biog. data, results of background check, security violations & assignments

(covert)

Pseudonym: contains everything the person did - lists where

SECRET

001760

17 of 25

SECRET

p. 7

he worked, what he did, etc.

If an agent, it would have a POA for each project the agent was involved in.

If a staff employee it will only have a list of assignments.

Medics: Medical histories on all staffers; on agents if they can get it
Psychological profiles

Training: Train agents, mgrs., secys., officers
Run all training centers

Office of Data Processing: Put together programs used by computers.

Personnel: applicants for agency employ.
all agency employees

(true name index)
DDO has central index which X-refs. true names, cryptonyms,
pseudonyms & 201 numbers.

0001761

SECRET

PAGE 20 OF 20